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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application of: Podsiadlo

Serial No.: 09/668,547

Filed: September 25, 2000

For: SYSTEM AND METHOD FOR
AUCTIONING SHARES OF AN
INVESTMENT PRODUCT

Group Art Unit: 2164

Examiner: TBD

Attorney Docket No.:
10316-003-999

RECEIVED

AUG 20 2001

Technology Center 2100

INFORMATION DISCLOSURE STATEMENT
UNDER 37 C.F.R. § 1.56

Assistant Commissioner for Patents
Washington, D.C. 20231

Sir:

In accordance with the duty of disclosure imposed by 37 C.F.R. § 1.56 to inform the Patent Office of all references coming to the attention of each individual associated with the filing or prosecution of the subject application, which are or may be material to the patentability of any claim of the application, attorneys for applicants hereby direct the Examiner's attention to the references listed on the attached revised form PTO 1449.

Identification of the listed references is not to be construed as admission of applicants or attorneys for applicants that such references are available as "prior art" against the subject application. Consequently, applicants respectfully decline to use form PTO-1449, since this form identifies all of the references cited thereon as "Prior Art." As an alternative, Applicants submit herewith a "revised form PTO 1449" entitled "List of References Cited" instead of "List of Prior Art Cited."

Pursuant to 37 C.F.R. § 1.97(b), since this Information Disclosure Statement is being filed before the mailing of a first Office Action, the fee due is estimated to be \$ 0. If this is incorrect, please charge the appropriate fee to Pennie & Edmonds LLP Deposit Account No. 16-1150.

Applicants respectfully request that the Examiner review the foregoing references and that the references be made of record in the file history of the application.

Respectfully submitted,

U.C. LQ by No. 36,196

Date

8/15/01

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Enclosures